

13 Rec'd P 23 OCT 2000

09/623364 PATENT  
0933-0160P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Alexei R. KHOMUTOV et al.  
Appl. No.: 09/623,364 Group: Unassigned  
Filed: September 1, 2000 Examiner: UNASSIGNED  
For: NOVEL DERIVATIVES OF CYCLODEXTRINS

L E T T E R

Assistant Commissioner for Patents  
Washington, DC 20231

October 23, 2000

Sir:

Pursuant to the Notification of Acceptance mailed September 21, 2000 in connection with the above-identified application, enclosed herewith are copies of the documents which were cited in the International Search Report and listed on the Form PTO-1449 filed with the Information Disclosure Statement on September 1, 2000.

The PTO is requested to make these documents of record in the file of the present application and to return the initialed Form PTO-1449 to the undersigned.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By   
Andrew D. Meikle, #32,868

ADM/gh  
0933-0160P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Attachments: Documents cited in Search Report (3)

PATENT  
0933-0160P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Alexei R. KHOMUTOV et al.  
Appl. No.: 09/623,364 Group: Unassigned  
Filed: September 1, 2000 Examiner: UNASSIGNED  
For: NOVEL DERIVATIVES OF CYCLODEXTRINS

L E T T E R

Assistant Commissioner for Patents  
Washington, D.C. 20231

October 23, 2000

Sir:

Enclosed herewith is a Statement (Declaration) Claiming  
Small Entity Status (37 C.F.R. §§ 1.9(f) and 1.27(b)) -  
Independent Inventor (☒ original ☐ photocopy) which should be  
made part of the record of the present application.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By 

Andrew D. Meikle, #32,868

ADM/gh  
0933-0160P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Attachment

(Rev. 04/19/2000)



525 Rec'd PCT/PTO 23 OCT 2000

09/623364 #3

BOX PCT  
PATENT  
0933-0160P

IN THE U.S. PATENT AND TRADEMARK OFFICE

APPLICANT: Alexei R. KHOMUTOV et al.  
INTERNATIONAL APPL. NO.: PCT/FI99/00167  
APPL. NO.: 09/623,364  
FILED: September 1, 2000  
FOR: NOVEL DERIVATIVES OF  
CYCLODEXTRINS

LETTER SUBMITTING ADDITIONAL DOCUMENTS FOR  
ENTERING NATIONAL PHASE FOR A PCT APPLICATION

**BOX PCT**

Assistant Commissioner for Patents  
Washington, DC 20231

October 23, 2000

Sir:

Under the provisions of 37 C.F.R. § 1.494 or 37 C.F.R. § 1.495, attached hereto are the following additional items necessary for entering the national phase in connection with the above-identified PCT international application.

- ☒ Executed Declaration and Power of Attorney.
- ☒ Original ☐ Photocopy
- ☐ The specification attached to the executed Declaration and Power of Attorney is a true copy of the specification which was filed in the U.S. Patent and Trademark Office on September 1, 2000, including any amendments thereto (if applicable) filed on even date therewith.

☒ The undersigned hereby declares that "Attorney Docket No. 0933-0160P" on page 1 of the attached inventors' Declaration corresponds to Appl. No. 09/623,364 filed September 1, 2000 entitled "NOVEL DERIVATIVES OF CYCLODEXTRINS."

☐ English language specification, claims, and Abstract with ( ) sheets of drawings.

☒ Attached hereto is a Statement Claiming Small Entity Status (☒ original ☐ photocopy).

☒ Attached is a copy of Form PCT/DO/EO/905.

☐ \_\_\_\_\_  
\_\_\_\_\_

☐ No extension fee is required because the undersigned has not yet received the Notification of Missing Requirements (Form PCT/DO/EO/905). However, if for some reason it is determined that an extension of time is necessary, applicant hereby respectfully petitions for an extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17.

☐ Applicant(s) hereby respectfully petitions for ( ) month(s) extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17. The required fee of \$0.00 is attached hereto.

Appl. No. 09/623,364

The Government Filing Surcharge in the amount of \$130.00 in accordance with 37 C.F.R. §§ 1.494 and 1.492 was previously paid for concurrently with the filing of the application on September 1, 2000.

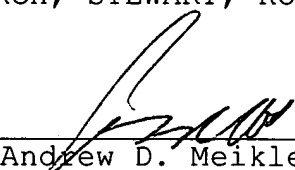
- ☐ Submitted concurrently herewith **under separate cover** for recording is an Assignment.
- ☐ A check in the amount of \$0.00 to cover the above-mentioned fees is enclosed.
- ☐ A Fee of \$0.00 to cover the increase in fees of the filing Surcharge is enclosed.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By

  
Andrew D. Meikle, #32,868

ADM/gh  
0933-0160P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Attachments

(Rev. 04/19/2000)

09/623364



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231

U.S. APPLICATION NO. 3,364 KHOMUTOV FIRST NAMED APPLICANT A ATTY. DOCKET #933-160P

002292 5611  
BIRCH STEWART KOLASCH & BIRCH  
P O BOX 747  
FALLS CHURCH VA 22040-0747

INTERNATIONAL APPLICATION NO.  
PCT/EP199/00187

I.A. FILING DATE PRIORITY DATE  
03/04/99 03/04/98

09/21/00

DATE MAILED:

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

☐ a Designated Office (37 CFR 1.494),  
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

☐ a non-English language.

☒ English.

☐ Translation of the international application into English.

☐ Oath or Declaration of inventors(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☐ The International Preliminary Examination Report in English and its Annexes, if any.

☐ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 01 Sept 00 and \_\_\_\_\_

☒ Information Disclosure Statement(s) filed 01 Sept 00 and \_\_\_\_\_

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed \_\_\_\_\_

☐ Statement Claiming Small Entity Status.

☒ Priority Document.

☐ Copy of the International Search Report ☐ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice *MUST* be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917

☐ Notice of Defective Translation

☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

Telephone: (703) 3053187

Docketed 155

10-21-00

perfect

PATENT  
0933-0160P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Alexei R. KHOMUTOV et al.  
Appl. No.: 09/623,364 Group: Unassigned  
Filed: September 1, 2000 Examiner: Unassigned  
For: NOVEL DERIVATIVES OF CYCLODEXTRINS  
ATTENTION: Refund Section  
Accounting Division  
OFFICE OF FINANCE

960	970
961	485
151	130
254	65
968	260
969	130

REQUEST FOR A REFUND OF 50% OF THE FILING FEE

Assistant Commissioner for Patents  
Washington, DC 20231

October 23, 2000

Sir:

The following documentation and remarks are respectfully submitted in connection with the above-identified application.

DOCUMENTATION

Attached hereto is a copy of an executed Statement Claiming Small Entity Status (37 C.F.R. § 1.9(f) and 1.27(c)) - Small Entity Declaration is being filed on even date herewith under separate cover.

REMARKS

Pursuant to 37 C.F.R. § 1.28(a), applicants hereby request a refund of 50% of the Filing Fee. Small entity status has been established by the filing of a statement on October 23, 2000.

Small entity applicants may now file the necessary Statement within two (2) months of the date of payment of any particular fee and request a refund. Attached hereto is a copy of the Statement Claiming Small Entity Status as an Independent Inventor. The present application qualifies for the reduced fees as implemented by the U.S. Patent and Trademark Office on October 1, 1982, and further amended on January 20, 1983.

The present application was filed on September 1, 2000 with a filing fee of \$1,362.00. It is respectfully requested that the excess fee of \$681.00 be credited to Deposit Account No. 02-2448.

Favorable action on the present Request is respectfully requested.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By 

Andrew D. Meikle, #32,868

ADM/gh  
0933-0160P

Attachments

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